

414 Rec'd PCT/

13 NOV 2000

09/700311 ✓

FORM PTO-1390  
REV. 5-93US DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTORNEYS DOCKET NUMBER  
P00,1796**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

INTERNATIONAL APPLICATION NO.  
PCT/DE99/01308 ✓INTERNATIONAL FILING DATE  
03 MAY 1999 ✓PRIORITY DATE CLAIMED  
11 MAY 1998 ✓

TITLE OF INVENTION

**METHOD AND ARRANGEMENT FOR DETERMINING SPECTRAL SPEECH CHARACTERISTICS  
IN A SPOKEN EXPRESSION**

APPLICANT(S) FOR DO/EO/US

**MARTIN HOLZAPFEL**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay.
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of International Application as filed (35 U.S.C. 371(c)(2)) - drawings attached.
- a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
- b. ☐ has been transmitted by the International Bureau.
- c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)) - drawings attached.
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3)).
- a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
- b. ☐ have been transmitted by the International Bureau.
- c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
- d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☒ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Items 11. to 16. below concern other document(s) or information included:
11. ☒ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; (PTO 1449, Prior Art, Search Report).
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.  
(SEE ATTACHED ENVELOPE)
13. ☒ Amendment "A" Prior to Action.
- ☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☒ A change of address letter attached to the Declaration.
16. ☒ Other items or information:
- a. ☒ Request for Approval of Drawing Additions, 3 sheets of drawings, Figures 1-5.
- b. ☒ Appointment of Associate Power of Attorney
- c. ☒ EXPRESS MAIL #EL655299400US dated November 13, 2000

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KEY'S DOCKET NUMBER

1796

09/700311

17. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5):**

Search Report has been prepared by the EPO or JPO ..... \$860.00

International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) .. \$690.00

No international preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but  
international search fee paid to USPTO (37 C.F.R. 1.445(a)(2)) ..... \$710.00Neither international preliminary examination fee (37 C.F.R. 1.482) nor international  
search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO ..... \$1000.00International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all  
claims satisfied provisions of PCT Article 33(2)-(4) ..... \$ 100.00**ENTER APPROPRIATE BASIC FEE AMOUNT =**

CALCULATIONS

PTO USE ONLY

\$ 860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months  
from the earliest claimed priority date (37 C.F.R. 1.492(e)).

\$

Claims

Number Filed

Number  
Extra

Rate

Total Claims

10 - 20 =

0

X \$ 18.00

\$

Independent Claims

03 - 3 =

0

X \$ 80.00

\$

Multiple Dependent Claims

\$270.00 +

\$

**TOTAL OF ABOVE CALCULATIONS =**

\$ 860.00

Reduction by ½ for filing by small entity, if applicable. Verified Small Entity statement must also  
be filed. (Note 37 C.F.R. 1.9, 1.27, 1.28)

\$

**SUBTOTAL =**

\$ 860.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months  
from the earliest claimed priority date (37 CFR 1.492(f)). +

\$

**TOTAL NATIONAL FEE =**

\$ 860.00

Fee for recording the enclosed assignment (37 C.F.R. 1.21(h). The assignment must be  
accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property +

+

**TOTAL FEES ENCLOSED =**

\$ 860.00

Amount to be  
refunded

\$

charged

\$

a. ☒ A check in the amount of \$ 860.00 to cover the above fees is enclosed.b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 501519. A duplicate copy of this sheet is enclosed.NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be  
filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

SCHIFF HARDIN & WAITE  
PATENT DEPARTMENT  
6600 Sears Tower  
233 South Wacker Drive  
Chicago, Illinois 60606-6473

SIGNATURE

Mark Bergner

NAME

45,877

Registration Number

**CERTIFICATE OF MAILING BY EXPRESS MAIL****09/700311****Express Mail Mailing Label Number EL 655299400US****Date of Deposit: November 13, 2000**

I hereby certify that this correspondence is being deposited with the United States Postal "Express Mail Post Office to Addressee" service under 37 CFR 1.10(c) on the date indicated above and is addressed to:

**BOX PCT  
Assistant Commissioner for Patents  
Washington DC 20231**

**Case Number: P00,1796  
Applicant(s): Martin Holzapfel**

**International Application No. PCT/DE99/01308  
International Filing Date 03 MAY 1999  
Priority Date Claimed 11 MAY 1998**

**Title: METHOD AND ARRANGEMENT FOR DETERMINING SPECTRAL  
SPEECH CHARACTERISTICS IN A SPOKEN EXPRESSION**

**Enclosed are the following documents:**

International application as filed, drawings attached;  
English Translation, translated drawings attached;  
Annexes;

Executed Declaration;  
Change of Address form for Applicants' Representative;

PTO 1390 in duplicate;  
Amendment "A" prior to action;

Information Disclosure Statement, PTO 1449, Search Report, References;

Appointment of Associate Power of Attorney;

Drawing Additions;

Fee: \$860.00;  
Postcard.

**(See attached envelope for Executed Assignment;  
PTO 1595; \$40.00 filing fee; Postcard)**

  
Signature of person mailing documents and fees